

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.  
3841.01Total Pages in this Submission  
122**TO THE COMMISSIONER FOR PATENTS**Mail Stop Patent Application  
P.O. Box 1450  
Alexandria, VA 22313-1450

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**MULTIPLE-ARM PEPTIDE COMPOUNDS, METHODS OF MANUFACTURE AND USE IN THERAPY**

and invented by:

Cheng Li  
Mir A. ImranIf a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 95 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications *(if applicable)*
  - c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
  - d. ☒ Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings *(if filed)*
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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**Application Elements (Continued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
- a. ☐ Formal      Number of Sheets \_\_\_\_\_
- b. ☒ Informal      Number of Sheets      7
4. ☒ Oath or Declaration
- a. ☐ Newly executed *(original or copy)*      ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
- c. ☒ With Power of Attorney      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied  
under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ CD ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7. ☒ Application Data Sheet (See 37 CFR 1.76)
8. ☒ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
- a. ☒ Computer Readable Form (CFR)
- b. ☒ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☒ Paper
- c. ☒ Statement(s) Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Certificate of Mailing
- ☐ First Class      ☒ Express Mail *(Specify Label No.):* EV 268686446 US

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(Small Entity)**

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**Accompanying Application Parts (Continued)**

17. ☒ Applicant claims small entity status. See 37 CFR 1.27.

☐ (Optional) Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_

18. ☒ Additional Enclosures *(please identify below)*:

Declaration of Howard M. Peters (2 pgs)

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

19. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

***Warning***

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

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**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	29	- 20 =	9	x \$9.00	\$81.00
Indep. Claims	2	- 3 =	0	x \$42.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$375.00
OTHER FEE (specify purpose) _____					\$0.00
TOTAL FILING FEE					\$456.00

- ☒ A check in the amount of \$456.00 to cover the filing fee is enclosed.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 16-1331 as described below.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: September 16, 2003

  
Signature

Howard M. Peters (Reg. No. 29,202)  
PETERS, VERNY, JONES & SCHMITT, L.L.P.  
385 Sherman Avenue, Suite 6  
Palo Alto, CA 94306  
Telephone (650) 324-1677  
Facsimile (650) 324-1678  
Customer No.: 23308  
Attorney Docket No.: 3841.01

cc:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of )

Cheng Li and Mir A. Imran )

Group Art Unit: \_\_\_\_\_ )

Serial No.: \_\_\_\_\_ )

Examiner: \_\_\_\_\_ )

Filed: September 16, 2003 )

Express Mail Label No.: EV 268686446 US )

For: MULTIPLE-ARM PEPTIDE COMPOUNDS, )  
METHODS OF MANUFACTURE AND )  
USE IN THERAPY )

EV268686446US

Mail Stop Patent Application

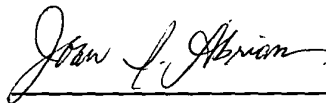
Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail (Label No. EV 268686446 US) in an envelope addressed to Mail Stop Patent Application, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 16, 2003.



Joan I. Abriam

TRANSMITTAL LETTER

Sir:

Transmitted herewith are the following documents:

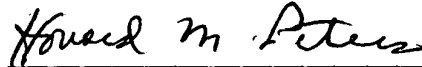
1. Transmittal Letter in Duplicate (2 pgs);
2. Utility Patent Application Transmittal (Small Entity) (4 pgs);
3. Application for Examination, Spec 85, Claims 9, Abstract 1;
4. Informal Figures (7 sheets);
5. Declaration and Power of Attorney for Patent Application (3 pgs);
6. Declaration of Howard M. Peters (2 pgs);
7. Statement to Support Filing and Submission in Accordance With 37 C.F.R. §§ 1.821-1.825 (1 pg);

8. Sequence Listing (4 pgs);
9. Application Data Sheet (2 pgs);
10. Sequence Disk;
11. Check for \$456.00; and
12. Postcard.

If additional fees are required for filing these documents, the Commissioner is hereby authorized to charge or credit any overpayment to Deposit Account No. 16-1331.

Respectfully submitted,

Date: September 16, 2003



Howard M. Peters (Reg. No. 29,202)  
Attorney of Record  
PETERS, VERNY, JONES & SCHMITT, L.L.P.  
385 Sherman Avenue, Suite 6  
Palo Alto, CA 94306-1840  
Telephone: (650) 324-1677  
Facsimile: (650) 324-1678  
Attorney Docket No.: 3841.01  
Customer No.: 23308

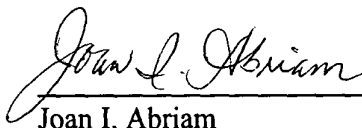
HMP:jia  
f:\hmp\3841.01\trans1.wpd

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of )  
 )  
Cheng Li and Mir A. Imran ) Group Art Unit: \_\_\_\_\_  
 )  
Serial No.: \_\_\_\_\_ ) Examiner: \_\_\_\_\_  
 )  
Filed: September 16, 2003 )  
Express Mail Label No.: EV 268686446 US )  
 )  
For: MULTIPLE-ARM PEPTIDE COMPOUNDS, )  
METHODS OF MANUFACTURE AND )  
USE IN THERAPY )  
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Joan I. Abriam

DECLARATION OF HOWARD M. PETERS

Sir:

I, Howard M. Peters, declare that:

1. I am licensed to practice in the U.S. as a patent attorney (Reg. No. 29,202).
2. I am the attorney of record in the instant patent application.
3. Our firm has used Harbor Consulting and Mr. James Coburn for over 5 years to prepare computer readable sequence data on disk.
4. Enclosed please find:
  1. the computer disk, and

2. the statement by Mr. James Coburn.

This submission is in response to the requirement for a disk with computer readable text. To the best of my information the sequences on the disk and the attached sheets are correct and not beyond the scope of the application.

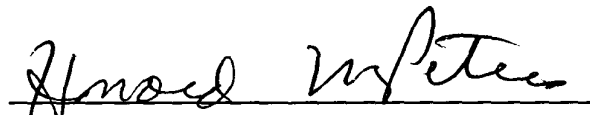
Please consider this a conditional petition for extension of time, if needed.

If additional fees are required for filing these documents, the Commissioner is hereby authorized to charge or credit any overpayment to Deposit Account No. 16-1331.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Respectfully submitted,

Date: September 16, 2003



Howard M. Peters (Reg. No. 29,202)

Attorney of Record

PETERS, VERNY, JONES & SCHMITT, L.L.P.

385 Sherman Avenue, Suite 6

Palo Alto, CA 94306-1840

Telephone: (650) 324-1677

Facsimile: (650) 324-1678

Attorney Docket No.: 3841.01

Customer No.: 23308

HMP:jia

Enclosures: 1. Computer Disk  
2. Pages of Text  
3. Statement by James Coburn

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